

DAC

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/663,658	
	Filing Date	9/15/2000	
	First Named Inventor	Malcolm G. Smith, Sr.	
	Art Unit	2876	
	Examiner Name	Nowlin, April A.	
Total Number of Pages in This Submission	38	Attorney Docket Number	ULT-005-2C1P

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OFFICE OF PETITIONS

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Petition For Revival (PTO/SB/64)	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Request For Continued Examination	<input checked="" type="checkbox"/> Request To Amend Drawings	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Response To Final Office Action	<input checked="" type="checkbox"/> Redline Drawings	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Power of Attorney, By Assignee to Exclusion of Inventor Under 37 CFR 3.71 With Revocation of Prior Powers	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Deposit Account 50-0574	<input type="checkbox"/> Statement Under 37 CFR 3.73(b)	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Information Disclosure Statement including copies of cited references	<input type="checkbox"/> Request for Refund	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Extension of Time Request	Return-receipt postcard
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input checked="" type="checkbox"/> Request To Correct Filing Receipt	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	James E. Parsons, Reg. No. 34,691, BEVER, HOFFMAN & HARMS, LLP (Customer No. 022888).
Signature	
Date	January 21, 2004

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Carrie Reddick		
Signature		Date	January 21, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



# FEE TRANSMITTAL for FY 2004

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 C.F.R. § 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 1050.00

Complete if Known	
Application Number	09/663,658
Filing Date	9/15/2000
First Named Inventor	Malcolm G. Smith, Sr.
Examiner Name	Nowlin, April A.
Art Unit	2876
Attorney Docket Number	ULT-005-2C1P

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JAN 28 2004

OFFICE OF PETITIONS

## METHOD OF PAYMENT (check one)

1. ☒ The Director is authorized to charge indicated fees and credit any over payments to:

Deposit Acct. No. 50-0574 (Docket No. ULT-005-2C1P)

Deposit Acct Name Bever, Hoffman & Harms, LLP

☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 & 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	x	=
Independent Claims	-3** =	x	=
Multiple Dependent		=	

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	665.00
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Petitions related to provisional applications	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	385.00
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (Specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 1,050.00

## SUBMITTED BY

Name (Print/Type)	James E. Parsons	Registration No. (Attorney/Agent)	34,691	Telephone	(408) 451-5906
Signature				Date	January 21, 2004



#12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Malcolm G. Smith, Sr.  
Assignee: UltraCard, Inc.  
Title: Data Storage Card Having A Glass Substrate And Data  
Surface Region And Method For Using Same  
Serial No.: 09/663,658 File Date: 09/15/2000  
Examiner: Nowlin, April A. Art Unit: 2876  
Docket No.: ULT-005-2C1P (old 5575 413436/080)

-----  
Date: January 21, 2004

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Sir:

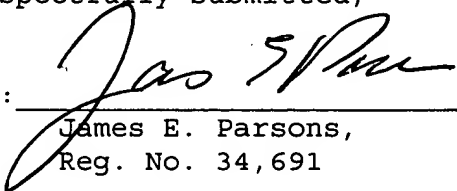
There is an error with respect to the following:

<u>Error in</u>	<u>Correct data</u>
Continuing Data as	THIS APPLICATION IS A CIP OF 09/113,783
Claimed by Applicant	07/10/1998 PAT 6,131,816


The original Filing Receipt is incorrect because the Applicant only claimed priority to application number 09/113,783, as evidenced by the enclosed Inventor Declaration. A copy of the Filing Receipt with the changes noted thereon is enclosed. Issuance of a corrected Filing Receipt is respectfully requested.

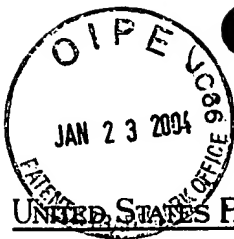
Respectfully submitted,

Customer No. 022888  
Telephone: (408) 451-5906

By:   
James E. Parsons,  
Reg. No. 34,691

I hereby certify that this correspondence is being deposited with the United States Postal Service as FIRST CLASS MAIL in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Date: January 21, 2004 Signature:   
Name: Carrie Reddick



COPY

Rec'd 12/03/00

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/663,658	09/15/2000	2876	837	5575 413436/080	7	40	11

## FILING RECEIPT

Daniel J Meaney Jr Esq  
PO Box 22307  
Santa Barbara, CA 93121



\*OC000000005585890\*

Date Mailed: 11/30/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Malcolm G. Smith SR., Mulege, MEXICO;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/113,783 07/10/1998 PAT 6,131,816

~~WHICH IS A CON OF 09/105,696 06/26/1998 ABN~~~~WHICH IS A CIP OF 07/871,447 04/21/1992~~~~WHICH IS A CIP OF 07/342,217 04/24/1989 PAT 5,107,099~~

## Foreign Applications

If Required, Foreign Filing License Granted 10/27/2000

\*\* SMALL ENTITY \*\*

## Title

Data storage card having a glass substrate and data surface region and method for using same

## Preliminary Class

235



#11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Malcom G. Smith, Sr.  
Assignee: UltraCard, Inc.  
Title: Data Storage Card Having A Glass Substrate and  
Data Surface Region and Method For Using Same  
Serial No.: 09/663,658 File Date: 9/15/2000  
Examiner: Nowlin, April A. Art Unit: 2876  
Docket No.: ULT-005-2C1P

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Date: January 21, 2004

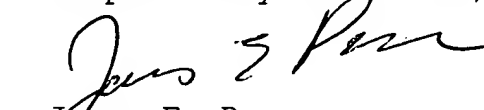
Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST TO AMEND DRAWINGS

Dear Sir:

Please amend Figures 1 and 5A as indicated by the attached redlines. In particular, Figure 1 is amended to show first path 14, as mentioned at page 26, lines 18-19, and as is already shown in Figure 11. In addition, arrow 34 is numbered in Figure 5A similar to Figure 2C. No new matter is added. If there are any questions, please telephone the undersigned at (408) 451-5906.

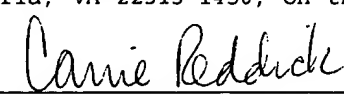
Respectfully submitted,

  
James E. Parsons  
Attorney for Applicant  
Reg. No. 34,691

Customer No.: 0022888

I hereby certify that this correspondence is being deposited with the United States Postal Service as FIRST CLASS MAIL in an envelope addressed to: Mail Stop Petition, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

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Signature: 

Name: Carrie Reddick